

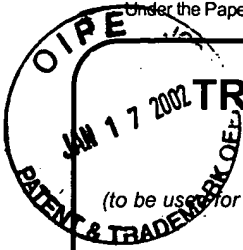
Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission	16	Application Number	09/955,004
		Filing Date	September 17, 2001
		First Named Inventor	Ming Chi Chen
		Group Art Unit	2661
		Examiner Name	
		Attorney Docket Number	002-2: CSN 4702

## ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input checked="" type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): 1. Return Postcard 2. Declaration with ADS (in Response to Missing Parts) 3. Letter: corrections to Filing Receipt		
<table border="1"><tr><td>Remarks</td><td></td></tr></table>			Remarks	
Remarks				

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Charles E. Krueger	Reg No. 30,077
Signature		
Date	November 19, 2001	

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date:

November 19, 2001

Typed or printed name	Sharon D. Krueger	Date	November 19, 2001
Signature			

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ ) 506

## Complete if Known

Application Number 09/955,004  
Filing Date September 17, 2001  
First Named Inventor Ming Chi Chen  
Examiner Name  
Group Art Unit  
Attorney Docket No. 002-2: CSN 4702

**METHOD OF PAYMENT**

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number

Deposit Account Name

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ **Payment Enclosed:**

☐ Check ☒ Credit card ☐ Money Order ☐ Other

**FEE CALCULATION**

1. **BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	
<b>SUBTOTAL (1)</b>					<b>(\$ )</b>

2. **EXTRA CLAIM FEES**

Total Claims  -20\*\* =  X  =

Independent Claims  -3\*\* =  X  =

Multiple Dependent  =

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent claim, if not paid	
109	84	209	42	** Reissue independent claims over original patent	
110	18	210	9	** Reissue claims in excess of 20 and over original patent	
<b>SUBTOTAL (2)</b>					<b>(\$ ) 336</b>

\*\*or number previously paid, if greater; For Reissues, see above

**3. ADDITIONAL FEES**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	130
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination(RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify)					
The Commissioner is authorized to charge any additional fees to the above noted Deposit Account.					
*Reduced by Basic Filing Fee Paid					
<b>SUBTOTAL (3)</b>					<b>(\$ ) 170</b>

**SUBMITTED BY**

Name (Print/Type)	Signature	Registration No. (Attorney/Agent)	Telephone	Date
Charles E. Krueger		30,077	925 944 3320	November 19, 2001

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UNITED STATES PATENT AND TRADEMARK OFFICE

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UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/955,004	09/17/2001	Ming Chi Chen	CSN 4702

CONFIRMATION NO. 7879

30080  
LAW OFFICE OF CHARLES E. KRUEGER  
P.O. BOX 5607  
WALNUT CREEK, CA 94596-1607

## FORMALITIES LETTER



\*OC000000006952182\*

Date Mailed: 10/22/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

01/24/2002 SDIRETA1 00000113 09955004

FILED UNDER 37 CFR 1.53(b)

01 FC:102  
02 FC:105

336.00 OP  
130.00 OP

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

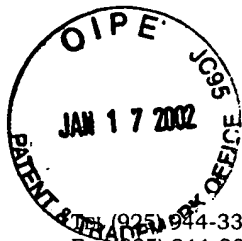
- Total additional claim fee(s) for this application is \$320.
  - \$320 for 4 independent claims over 3.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 450.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



TEL (925) 944-3320  
FAX (925) 944-3363  
[CKRUEGER@SBCGLOBAL.NET](mailto:CKRUEGER@SBCGLOBAL.NET)

LAW OFFICE OF CHARLES E. KRUEGER  
P.O. Box 5607  
WALNUT CREEK, CA 94596

EXPRESS DELIVERY TO:  
1981 N. BROADWAY, SUITE 275  
WALNUT CREEK, CA 94596

November 19, 2001

Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231

RE: ERROR ON FILING RECEIPT  
Patent Application No. 09/955,004  
Filed 09/17/01  
SERIAL PROTOCOL FOR EFFICIENT  
MESSAGING BETWEEN HOST AND  
INTELLIGENT DAUGHTERCARDS OVER  
A SERIAL LINK  
Our File No. 002-2  
Attorney Docket No. CSN 4702

Dear Sir or Madam:

Enclosed is the FILING RECEIPT dated October 22, 2001, for the above-referenced application. Please note the following corrections:

Applicant(s): "Mickey Henninger" should read Mick Henniger. Yes, both first and last names need to be corrected. He is still the fifth named inventor.

Title: "effecient" should read efficient.

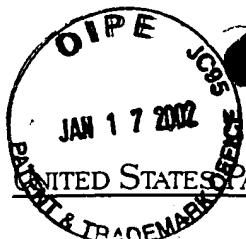
This is being sent with our response to the Notice of Missing Parts, and we understand that the USPTO will generate another Filing Receipt. Thank you.

Sincerely yours,

Charles E. Krueger

CEK:sdk  
Enclosure

rec'd 10/25/01



UNITED STATES PATENT AND TRADEMARK OFFICE

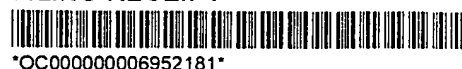
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UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/955,004	09/17/2001	2661	710	CSN 4702	5	17	7

CONFIRMATION NO. 7879

30080  
LAW OFFICE OF CHARLES E. KRUEGER  
P.O. BOX 5607  
WALNUT CREEK, CA 94596-1607

## FILING RECEIPT



\*OC000000006952181\*

Date Mailed: 10/22/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Ming Chi Chen, Residence Not Provided;  
Robert Chen, Residence Not Provided;  
Sanjoy Dey, Residence Not Provided;  
James Grishaw, Residence Not Provided;  
Mickey Henninger, Residence Not Provided;

## Assignment For Published Patent Application

CISCO TECHNOLOGY INC. (A California Corporation);

## Domestic Priority data as claimed by applicant

## Foreign Applications

If Required, Foreign Filing License Granted 10/18/2001

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

## Title

Serial protocol for efficient messaging between host and intelligent daughtercards over a serial link

Preliminary Class

370

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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